



#<sup>RS</sup> 2681  
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4-19-04

Attorney Docket No. 13226US02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of:

Gottfried Ungerboeck  
Arthur J. Carlson

Serial No. 09/898,850

Filed: July 3, 2001

For: SYSTEM AND METHOD FOR  
HUFFMAN SHAPING IN A DATA  
COMMUNICATION SYSTEM

Examiner: Not assigned

Group Art Unit: 2681

**CERTIFICATE OF MAILING**

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*April 5, 2004*

*Michael T. Cruz*  
Michael T. Cruz  
Reg. No. 44,636

**TRANSMITTAL OF SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT  
AFTER APPLICATION FILING DATE**

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Technology Center 2600

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**ENCLOSURES**

Enclosed are the following:

- \* A completed form PTO/SB/08A which has one (1) page. A copy of each printed or patented reference listed in the enclosed form PTO/SB/08A not previously provided to or by the PTO in this application. Two (2) references enclosed.
- \* A copy of the European Search Report for the European Application No. EP 01963892, Communication dated March 3, 2004, corresponding to the above application.

## **FEE DETERMINATION**

- \* No fee is believed to be due because:

In accordance with 37 CFR §1.97(e), each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this statement.

## **FEE PAYMENT**

The following arrangements have been made to pay the fees calculated above:

- \* No fee is believed to be due.

The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

## **REQUEST FOR CONSIDERATION**

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is requested to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicants to indicate consideration of the enclosed references.

Respectfully submitted,

Dated: April 5, 2004

  
\_\_\_\_\_  
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INSTITUTE FOR PATENT & TRADEMARK OFFICE  
Form 1449A/PTOINFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

## Complete if Known

Application Number	09/898,850
Filing Date	July 3, 2001
First Named Inventor	Gottfried Ungerboeck
Group Art Unit	2681
Examiner Name	Not assigned
Attorney Docket Number	13226US02

U.S. PATENT DOCUMENTS					
Examiner Initial*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
A1					RECEIVED
A2					
A3					
A4					APR 12 2004
A5					
A6					Technology Center 2600

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A7	DE 197 48 880 C 1	05/12/1999	DEUTSCHE TELEKOM AG	Col. 2, line 17 – line 22; Col. 3, line 41 – 44
	A8				
	A9				
	A10				
	A11				

OTHER ART -- NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			
	A12	B. Vasic et al., "Scrambling for Nonequiprobable Signalling", Electronics Letters, IEE Stevenage, GB, vol. 32, no. 17, August 15, 1996, pages 1551-1552.			
	A13				
	A14				
	A15				
	A16				

EXAMINER SIGNATURE		DATE CONSIDERED	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible.

<sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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